

07-23-01

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |   |
|------------------------|---|
| Attorney Docket No.    | PB 00 0027  |
| First Inventor         | Holmstrom, Roger, et al.  |
| Title                  | Method And Apparatus For Aligning A Light Beam Onto An Optical Fiber Core |
| Express Mail Label No. | ET 172 963 823 US   |

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **29**]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **9**]
5. Oath or Declaration [Total Pages **2**]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

|         |   |           |              |          |              |
|---------|---|-----------|--------------|----------|--------------|
| Name    | Lawrence M. Cho, Tellabs Operations, Inc. |           |              |          |              |
| Address | 4951 Indiana Avenue, MS 16                |           |              |          |              |
| City    | Lisle                                     | State     | Illinois     | Zip Code | 60532        |
| Country | USA                                       | Telephone | 630-512-7208 | Fax      | 630-512-7293 |

|                   |                   |                                   |         |
|-------------------|-------------------|-----------------------------------|---------|
| Name (Print/Type) | Lawrence M. Cho   | Registration No. (Attorney/Agent) | 39,942  |
| Signature         | <i>Law M. Cho</i> | Date                              | 7/20/01 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



Tellabs  
4951 Indiana Avenue  
Lisle, IL 60532 U.S.A.  
Tel: +1.630.378.8800  
Fax: +1.630.512.7293

July 20, 2001

Tellabs Docket No.:

PB 00 0027

**BOX PATENT APPLICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Presented for filing is a provisional patent application of:

Applicants: Roger P. Holmstrom  
Nicholas J. Scholtes

Title: METHOD AND APPARATUS FOR ALIGNING  
A LIGHT BEAM ONTO AN OPTICAL FIBER CORE

Enclosed are the following papers, including those required to receive a filing date  
under 37 CFR § 1.53(b):

- a. Utility Patent Application Transmittal ( 29 pages plus 9 drawing sheets)
- b. Fee Transmittal (in duplicate)
- c. Assignment
- d. Recordation Form Cover Sheet (Form PTO-1595)
- e. Executed Combined Declaration and Power of Attorney for Patent Application
- f. Certificate of Mailing by "Express Mail"
- g. Postage Paid Return Receipt Post Card

Kindly acknowledge receipt of this application by returning the enclosed postcard.

Please send all correspondence to:

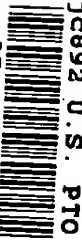
Lawrence M. Cho  
Tellabs Operations, Inc.  
4951 Indiana Avenue, MS 16  
Lisle, IL 60532

Respectfully submitted,

Lawrence M. Cho  
Intellectual Property Counsel

Enclosures

07/20/01



1c892 U.S. PTO

09910147-072001

09910147-072001

Assistant Commissioner for Patents                      Tellabs Docket No. PB 00 0027

Re: Applicant - Tellabs Operations, Inc. (Holmstrom, Scholtes)

Title: METHOD AND APPARATUS FOR ALIGNING A LIGHT BEAM ONTO AN OPTICAL  
FIBER CORE

Sir:

Please place the Patent Office receipt stamp hereon and mail to  
acknowledge receipt of:

☒ Utility Patent Application Transmittal (29 pages; 9 drawing sheets)  
☒ Fee Transmittal (in duplicate)  
☒ Assignment  
☒ Recordation Form Cover Sheet (Form PTO - 1595)  
☒ Executed Combined Declaration and Power of Attorney for  
Patent Application  
☒ Certificate of Mailing by "Express Mail"  
☒ Postage Paid Return Receipt Post Card  
☒ Express Mail Deposit Date: July 20, 2001  
☒ Express Mail NO. ET 172 963 823 US

I hereby certify that the above-identified and attached papers are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated below, and are addressed to the Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231 (Express Mail No. ET 172 963 823 US).

Date: 7/20/01

By:

  
Janet Missig

Tellabs Docket No.:

PB 00 0027

Title of Provisional Application:

METHOD AND APPARATUS FOR ALIGNING A  
LIGHT BEAM ONTO AN OPTICAL FIBER CORE

- X Utility Patent Application Transmittal  
( 29 pages plus 9 drawing sheets)
- X Fee Transmittal (in duplicate)
- X Assignment
- X Recordation Form Cover Sheet (Form PTO-1595)
- X Executed Combined Declaration and Power of Attorney for Patent Application
- X Certificate of Mailing by "Express Mail"
- X Transmittal Letter
- X Postage Paid Return Receipt Post Card

000220.072001

I hereby certify that the above-identified and attached papers are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated below, and are addressed to The Assistant Commissioner for Patents, BOX PATENT APPLICATION, Washington, D.C. 20231.

Date: 1-20-01

By:

  
Janet Missig

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Application of: )  
 )  
 Roger P. Holmstrom )  
 Nicholas J. Scholtes )  
 )  
 )  
 Serial No.: To Be Assigned )  
 )  
 Filed: )  
 )  
 For: METHOD AND APPARATUS FOR ALIGNING )  
 A LIGHT BEAM ONTO AN OPTICAL )  
 FIBER CORE )  
 )

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Dear Sir:

"Express Mail" Mailing Label Number ET 172 963 823 US

Date of Deposit: July 20, 2001

Patent Application of: **Roger P. Holmstrom**  
2711 Royal St. James  
St. Charles, Illinois 60174 USA

and

**Nicholas J. Scholtes**  
21705 County Line Road  
Joliet, Illinois 60431 USA

1002707470550

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL**  
**for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$ ) 1,306.00**Complete if Known**

|                      |                  |
|----------------------|------------------|
| Application Number   |                  |
| Filing Date          |                  |
| First Named Inventor | Holmstrom, et al |
| Examiner Name        |                  |
| Group Art Unit       |                  |
| Attorney Docket No.  | PB 00 0027       |

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

|                        |                          |
|------------------------|--------------------------|
| Deposit Account Number | 500-654                  |
| Deposit Account Name   | Tellabs Operations, Inc. |

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 710                    | 201 355                    | Utility filing fee     | 710.00   |
| 106 320                    | 206 160                    | Design filing fee      |          |
| 107 490                    | 207 245                    | Plant filing fee       |          |
| 108 710                    | 208 355                    | Reissue filing fee     |          |
| 114 150                    | 214 75                     | Provisional filing fee |          |

**SUBTOTAL (1)** (\$ ) 710.00**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 42                 | -20** = 22   | 18.00          | 396.00   |
| 5                  | -3** = 2     | 80.00          | 160.00   |
| Multiple Dependent |              |                |          |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 103 18                     | 203 9                      | Claims in excess of 20                                     |
| 102 80                     | 202 40                     | Independent claims in excess of 3                          |
| 104 270                    | 204 135                    | Multiple dependent claim, if not paid                      |
| 109 80                     | 209 40                     | ** Reissue independent claims over original patent         |
| 110 18                     | 210 9                      | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$ ) 556.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105 130                    | 205 65                     | Surcharge - late filing fee or oath  |          |
| 127 50                     | 227 25                     | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                    | 139 130                    | Non-English specification  |          |
| 147 2,520                  | 147 2,520                  | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*                   | 112 920*                   | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*                 | 113 1,840*                 | Requesting publication of SIR after Examiner action                        |          |
| 115 110                    | 215 55                     | Extension for reply within first month                                     |          |
| 116 390                    | 216 195                    | Extension for reply within second month                                    |          |
| 117 890                    | 217 445                    | Extension for reply within third month                                     |          |
| 118 1,390                  | 218 695                    | Extension for reply within fourth month                                    |          |
| 128 1,890                  | 228 945                    | Extension for reply within fifth month                                     |          |
| 119 310                    | 219 155                    | Notice of Appeal   |          |
| 120 310                    | 220 155                    | Filing a brief in support of an appeal                                     |          |
| 121 270                    | 221 135                    | Request for oral hearing   |          |
| 138 1,510                  | 138 1,510                  | Petition to institute a public use proceeding                              |          |
| 140 110                    | 240 55                     | Petition to revive - unavoidable   |          |
| 141 1,240                  | 241 620                    | Petition to revive - unintentional   |          |
| 142 1,240                  | 242 620                    | Utility issue fee (or reissue)   |          |
| 143 440                    | 243 220                    | Design issue fee   |          |
| 144 600                    | 244 300                    | Plant issue fee  |          |
| 122 130                    | 122 130                    | Petitions to the Commissioner  |          |
| 123 50                     | 123 50                     | Processing fee under 37 CFR 1.17(q)  |          |
| 126 180                    | 126 180                    | Submission of Information Disclosure Stmt                                  |          |
| 581 40                     | 581 40                     | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146 710                    | 246 355                    | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 710                    | 249 355                    | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 710                    | 279 355                    | Request for Continued Examination (RCE)                                    |          |
| 169 900                    | 169 900                    | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) 40.00**SUBMITTED BY**

|                   |                        |
|-------------------|------------------------|
| Name (Print/Type) | Lawrence M. Cho        |
| Signature         | <i>Lawrence M. Cho</i> |

|                                   |        |
|-----------------------------------|--------|
| Registration No. (Attorney/Agent) | 39,942 |
|-----------------------------------|--------|

**Complete (if applicable)**

|           |              |
|-----------|--------------|
| Telephone | 630-512-7208 |
| Date      | 7/29/01      |

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